




PATENT  
Attorney Docket No. A-70092/RMA/JML  
(469090-14)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:  KAJIWARA, et al.  Serial No.: 09/874,174  Filing Date: 4 JUNE 2001  For: <b>CHEMICAL MECHANICAL POLISHING APPARATUS AND METHOD HAVING A RETAINING RING WITH A CONTOURED SURFACE</b>	Examiner: MORGAN, EILEEN P  Group Art Unit: 3723  <u>CERTIFICATE OF MAILING</u>  I hereby certify that this correspondence and its listed enclosures is being deposited with the United States Postal Service as First Class Mail addressed to Commissioner for Patents; P.O. Box 1450; Alexandria, VA 22313-1450 on <u>NOVEMBER 10, 2003</u>  Signed:  Maria Ciganovich
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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

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In satisfaction of the duty of disclosure under 37 C.F.R. § 1.56, and in accordance with the provisions of 37 C.F.R. §§ 1.97 and 1.98, Applicants wish to draw the attention of the U.S. Patent and Trademark Office to the reference cited on the accompanying substitute for form PTO-1449. Copies of the references are enclosed herewith. An English language translation of reference B1 is provided. An English language abstract of references B2 and B3 is provided.

None of the foregoing references is believed to disclose the invention as claimed. Nothing herein shall constitute an admission concerning the contents of any of the cited references, nor shall the inclusion of a reference herein be considered an admission

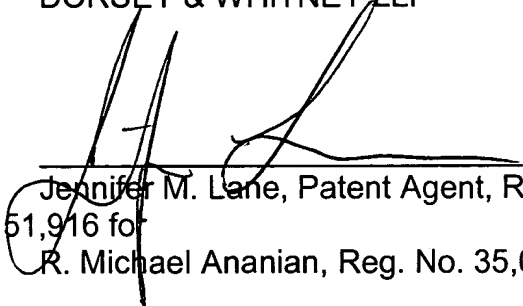
Serial No.: 09/874,174  
Filing Date: 4 JUNE 2001

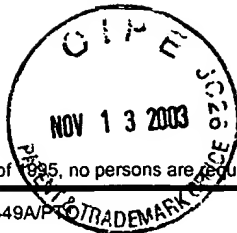
that the reference constitutes prior art against the invention claimed in the above-identified application. Submission of the present document shall not be construed as an admission that a search has been made or that other art does not exist.

As far as is known to the undersigned, this Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits as set forth in 37 C.F.R. § 1.97(b), and therefore no fee is required. While no fee is currently believed to be due, the Commissioner is authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-2319 (Our Order No. 469090-14). Please direct any calls in connection with this application to the undersigned at (415) 781-1989.

Respectfully submitted,  
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Substitute for form 1449A/PTO (Modified)			<b>Complete if Known</b>		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			Application Number	09/874,174	
			Filing Date	06/04/2001	
			First Named Inventor	Kajiwara	
			Group Art Unit	3723	
			Examiner Name	Morgan, Eileen P	
			Attorney Docket Number	A-70092/RMA/JML (469090-14)	
Sheet	1	of	1		

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No.	Foreign Patent Document Country Code <sup>2</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
	B1	JP 10-217108	08-18-1998	Mitsubishi Materials Corp.		X
	B2	JP 11-333712	10-07-1999	Nikon Corp.		
	B3	JP 09-309065	12-02-1997	Sumimoto Metal Ind. Ltd.		
	B4					
	B5					
	B6					

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English Language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. 1123271\_1.DOC